

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: **Evans** §  
Serial No.: **Not Assigned** § Group Art Unit: **Not Assigned**  
Filed **October 9, 2003** § § Examiner: **Not Assigned**  
For: **Chip-Scale WDM System Using** § § Attorney Docket No.: **BPHOTO.011**  
**Grating-Outcoupled Surface-Emitting** §  
**Lasers** §

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants request that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. 1.97.

Please charge any fees necessary for prosecution of the present application to Deposit Account No. 50-0392. If any extension of time is required, such extension is hereby requested. Please charge any additional required fee for extension of time to Deposit Account No. 50-0392.

In accordance with 37 C.F.R. 1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. 1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standards of materiality defined in 37 C.F.R. 1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. 1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

This Information Disclosure Statement is being filed under 37 C.F.R. § 1.97(b) within three months of the filing date of the application, or before the mailing date of a first office action on the merits. No fee is required.

Date: 10-8-03

Respectfully submitted,



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Form PTO-1449  <b>LIST OF PRIOR ART CITED BY APPLICANT</b> (Use several sheets if necessary)			ATTORNEY DOCKET NO. <b>BPHOTO.011</b>	SERIAL NO. <b>Not Assigned</b>	
			APPLICANT <b>Evans</b>		
			FILING DATE <b>October 9, 2003</b>	GROUP ART UNIT <b>Not Assigned</b>	
<b>U.S. PATENT DOCUMENTS</b>					
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	INVENTOR NAME	CLASS/ SUBCLASS	FILING DATE
AA	5,673,284	Sep. 30, 1997	Congdon et al.	372/50	Aug. 21, 1996
AB	4,919,507	Apr. 24, 1990	Evans et al.	350/96.19	May 10, 1989
AC	4,006,432	Feb. 1, 1977	Streifer et al.	331/94.5 C	Oct. 15, 1974
AD	5,970,081	Oct. 19, 1999	Hirayama et al.	372/96	Sep. 17, 1997
AE	4,958,357	Sep. 18, 1990	Kinoshita	372/96	Dec. 19, 1988
AF	6,064,783	May 16, 2000	Congdon et al.	385/15	May 25, 1994
<b>OTHER PRIOR ART (including author, title, date, pertinent page, etc.)</b>					
AG	"Surface Emitting Semiconductor Lasers and Arrays", Ed. Evans and Hammer, Academic Press, 1993.				
AH	"Optimized Couplers Between Junction Lasers and Single Mode Fibers", Hammer, Neil, RCA Laboratories, Princeton, NJ, Final Report, 31 August 1981 – 31 January 1983.				
AI	"Observations and Theory of High Power Butt Coupling to LiNbO <sub>3</sub> -type Waveguides", Hammer and Neil, IEEE J. Quantum Electronics, QE-18, 1751-1758, Oct. 1982.				
AJ	"Bow-Tie Surface Emitting Lasers", Bedford, R., Luo, H., Fallahi, M., IEEE Photonics Tech. Let., Vol. 12, No. 8, August 2000.				
AK	"Surface-Emitting Distributed Feedback Quantum-Cascade Lasers", Schrenk, W. et al., Applied Physics Letters, Vol. 77, No. 14, Oct. 2, 2000.				
AL	"Analysis of Grating Surface Emitting Lasers", Noll, R.J., Macomber, S.H., IEEE Journal of Quantum Electronics, Vol. 26, No. 3, March 1990.				
AM	"Facetless Bragg Reflector Surface-Emitting AlGaAs/GaAs Lasers Fabricated by Electron-Beam Lithography and Chemically Assisted Ion-Beam Etching", Tiberio, R.C., et al., J.Vac.Sci.Technol. B9 (6), Nov/Dec 1991.				
AN	"Laser Diode End Fire Coupling into Ti:LiNbO <sub>3</sub> Waveguides", Burns, Appl. Optics, 18, 2536-2537, Aug. 1979.				
AO	"Research Toward Optical Fiber Transmission Systems Part 1, Miller et al., "Proc. IEEE, 61, 1703-1751, Dec. 1973.				
AP	Stoll, "Distributed Bragg Deflector: A Multifunctional Integrated Optical Device", Applied Optics, Vol. 17, No. 16, 15 August 1978, pp. 2562-2569.				
AQ	Evans et al., "Progress Toward a Monolithically Integrated Coherent Diode Laser Array", The Aerospace Corp., El Segundo, CA 90245, Interim Report, 20 February 1981, 204 pages.				
AR	Saito et al., "16-ch Arrayed Waveguide Grating Module with 100-GHz Spacing", Furukawa Review, No. 19, 2000, pp. 47-52.				
AS	Parker et al., "2:1 Arrayed-Waveguide Grating Based WDM Access Networks: An Evolutionary Multi-Gb/s Upgrade Path", Fujitsu Telecommunications Europe Ltd., Abstract, pp. 1-8.				
AT	He et al., "Design, Simulation and Fabrication for Integrated DWDM Devices", Joint Research Lab for Optical Communication of Zhejiang University, Centre for Optical and Electromagnetic Research, Zhejiang University, Abstract, pp. 1-4.				
AU	Toda et al., "A Demultiplexing Scheme Using an Arrayed-Waveguide Grating for a DWDM MM-Wave Fiber-Radio System by Optical Frequency Interleaving", Graduate School of Engineering, Osaka University, Japan, Abstract, pp. 1-4.				
AV	Gehler et al., "Crosstalk Reduction of Arrayed Waveguide Gratings by UV Trimming of Individual Waveguides without H2-Loading", Alcatel Corporate Research Center, Technical University Hamburg-Harburg, Abstract, 1 page.				
AW	Ramaswami et al., "All-Optical Networks May One Day Form National Backbone", OE Reports, 2000 SPIE, pp. 1-5.				
AX	Hasegawa et al., "Development of a Heater-Control AWG Module", Furukawa Review No. 22, 2002, pp. 1-5.				
AY	Kim et al., "Fabrication of InP-Based Reflection Type Arrayed Waveguide Grating with Metal Coated Reflection Facet", Jpn. J. Appl. Phys. Vol. 40 (2001), pp. L36-L37.				
DATE CONSIDERED		EXAMINER			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					